

05-02-01

11046 U.S. PTO  
09/04/06  
04/30/01

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**CERTIFICATE OF EXPRESS MAILING**

11032 U.S. PTO  
04/30/01

I hereby certify that this paper and the documents and/or fees referred to as attached herein are being deposited with the United States Postal Service on April 30, 2001 in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR §1.10, Mailing Label Number EL815443885US, addressed to the Commissioner for Patents, Washington, DC 20231.

*Kay Harlow*  
Kay Harlow

Attorney Docket No. SUNMP007  
First Named Inventor: Rahul Sharma

**UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR § 1.53(b))**

Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

☐ Duplicate for  
fee processing

Sir: This is a request for filing a patent application under 37 CFR § 1.53(b) in the name of inventors:  
**Rahul Sharma, Vladimir Matena, Masood Mortazavi, and Sanjeev Krishnan**

For: **METHOD AND APPARATUS FOR UPGRADING MANAGED APPLICATION STATE FOR A JAVA BASED APPLICATION**

Application Elements:

- ☒ 35 Pages of Specification, Claims and Abstract  
☒ 09 Sheets of Drawings (Informal)  
☒ 02 Pages Declaration

Accompanying Application Parts:

- ☒ Assignment and Assignment Recordation Cover Sheet (recording fee of \$40.00 enclosed)  
☐ 37 CFR 3.73(b) Statement by Assignee  
☐ Information Disclosure Statement with Form PTO-1449  
☐ Copies of IDS Citations  
☐ Preliminary Amendment  
☒ Return Receipt Postcard  
☒ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)  
☐ Other:

Fee Calculation (37 CFR § 1.16)

	(Col. 1)	(Col. 2)	<u>SMALL ENTITY</u>		<u>OR</u>	<u>LARGE ENTITY</u>	
	<u>NO. FILED</u>	<u>NO. EXTRA</u>	<u>RATE</u>	<u>FEE</u>		<u>RATE</u>	<u>FEE</u>
BASIC FEE			\$355	\$		\$710	\$710.00
TOTAL CLAIMS	<u>20</u>	-20 = <u>00</u>	x09 =	\$	OR	x18 =	\$
INDEP CLAIMS	<u>03</u>	-03 = <u>00</u>	x40 =	\$	OR	x80 =	\$
[ ] Multiple Dependent Claim Presented			\$135 =	\$	OR	\$270 =	\$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			Total	\$	OR	Total	<u>\$710.00</u>

☒ Check No. 5199 in the amount of \$750.00 is enclosed.

☒ The Commissioner is authorized to charge any fees beyond the amount enclosed which may be required, or to credit any overpayment, to Deposit Account No. 50-0805 (Order No. SUNMP007).

Request for Small Entity Status

☐ Applicant is entitled to small entity status.


General Authorization for Petition for Extension of Time (37 CFR §1.136)

☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 50-0805 (Order No. SUNMP007).

☒ Please send correspondence to the following address:

**Joe A. Brock, II, Esq.**  
MARTINE & PENILLA, LLP  
710 Lakeway Drive, Suite 170  
Sunnyvale, CA 94085  
**Customer Number 25920**  
Tel (408) 749-6900  
Fax (408) 749-6901

Date: April 30, 2001

  
\_\_\_\_\_  
Joe A. Brock, II, Esq.  
Registration No. 46,021



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of )  
Sharma et al. ) Examiner: Unassigned  
Application No. [To be assigned] ) Art Unit: Unassigned  
Filed: April 30, 2001 ) Docket No. SUNMP007  
For: METHOD AND APPARATUS FOR UPGRADING ) Date: April 30, 2001  
MANAGED APPLICATION STATE FOR A JAVA BASED )  
APPLICATION )  
\_\_\_\_\_ )

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Signed: \_\_\_\_\_

*Ray Harlow*  
Ray Harlow

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. § 122(b)(2)(B)(i)**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. § 122(b).

Respectfully submitted,  
MARTINE & PENILLA, LLP

*Joe A. Brock, II*  
Joe A. Brock, II, Esq.  
Reg. No. 46,021

710 Lakeway Drive, Suite 170  
Sunnyvale, CA 94085  
(408) 749-6900  
**Customer Number 25920**